



ECC Member Area

User Guide

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1 INTRODUCTION

With the help of the ECC Member Area the European Commodity Clearing AG provides an online access to the SMSS settlement systems of European Commodity Clearing AG for trading participants, clearing members, Sub-CCPs and partner exchanges.

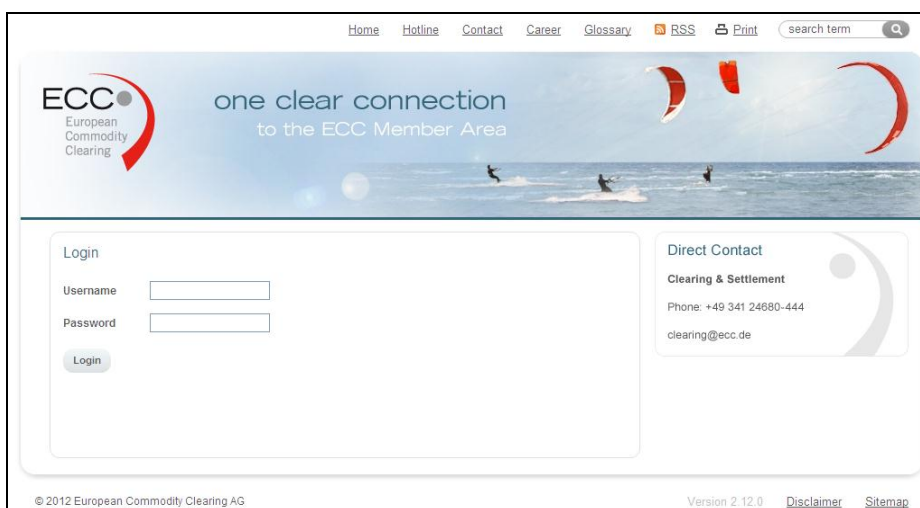
The following document provides an overview of the functionalities of the ECC Member Area. Chapter 3 shows how transactions can be viewed and how reports can be subscribed to in the ECC Member Area. The access to internal delivery accounts for emissions and the procedure of transferring of emissions to external registry accounts are described in chapter 4.

Furthermore, details on registration to the ECC Member Area can be found in chapter 2 and further administrative topics in chapter 5.

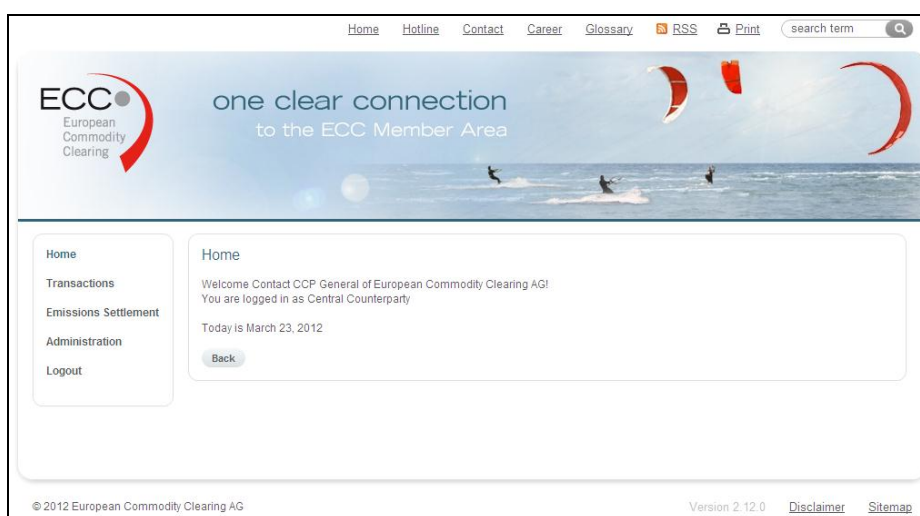
2 REGISTRATION

Access to the ECC Member Area has to be applied for at ECC using the form “[T10 User Setup](#)” by sending it to memberreadiness@ecc.de. The application form can contain both individuals and user groups. After an examination of the application the users will receive an email from ECC containing the user name and the initial password.

The user name (e.g. ABCEX001) consists of the five-digit ECC Member ID and a three-digit numerical code (e.g. ABCEX001). The initial password is generated automatically and has to be changed after the user logs on to the system for the first time.



After a successful login the starting page opens for the user. The navigation bar on the left hand side provides access to the functions made available.



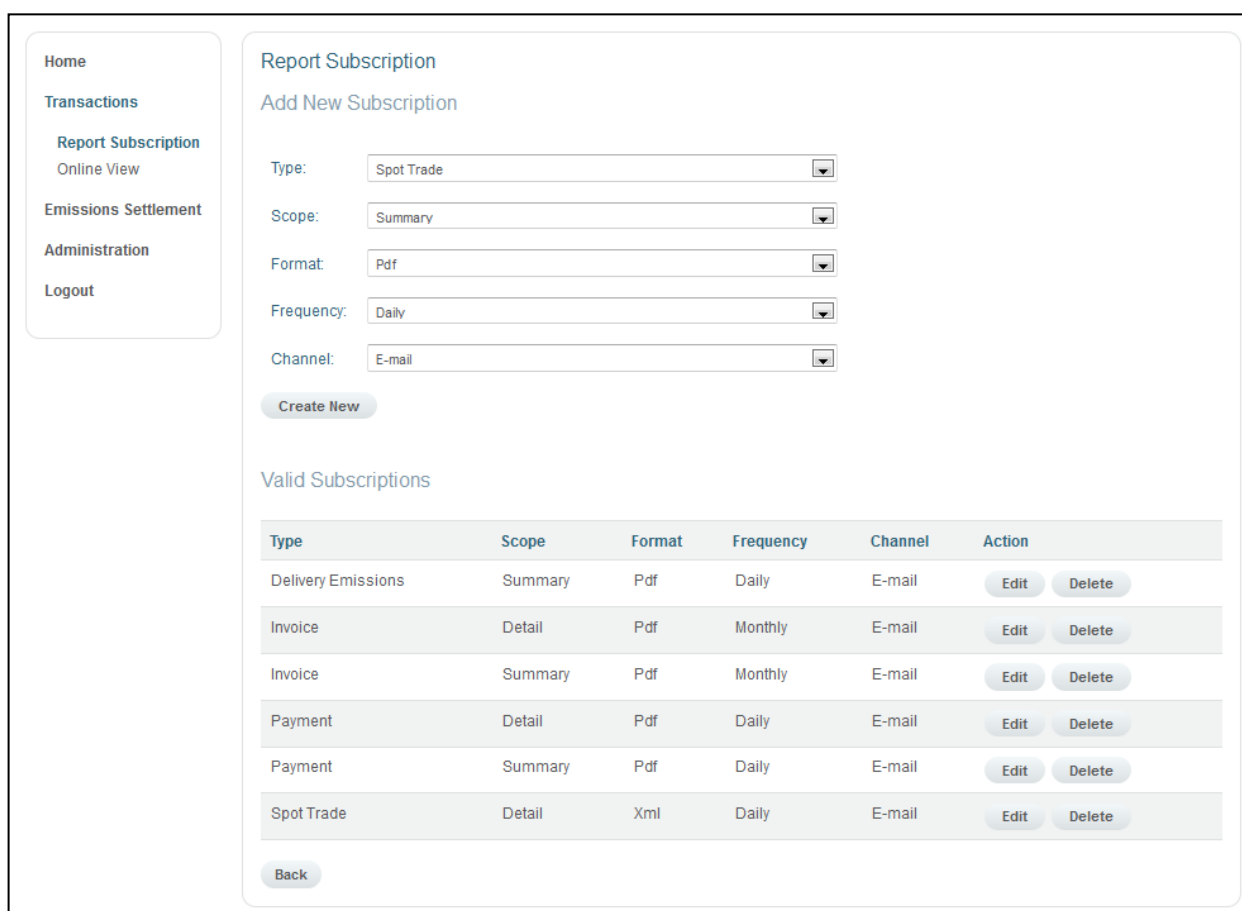
In case an incorrect password is entered three times, the user account is blocked automatically. A release of such blocking has to be requested by the registered user via email (clearing@ecc.de).

3 TRANSACTIONS

In the following Member Area services related to transaction reporting are described. They can be found in menu section “Transactions”. On the one hand it’s possible to subscribe to various reports (“Report Subscription” - see section 3.1) and on the other hand a selection of transactions can be viewed online and exported by the user (“Online view” - see section 3.2).

3.1 Report Subscription

Reports on transactions, payments, deliveries, invoices or margins can be subscribed to and report subscriptions can be modified or deleted under the menu item **Report Subscription** by choosing drop down menus accordingly.



The screenshot shows the 'Report Subscription' page. On the left is a sidebar menu with options: Home, Transactions, Report Subscription (selected), Online View, Emissions Settlement, Administration, and Logout. The main content area is titled 'Report Subscription' and includes a sub-header 'Add New Subscription'. Below this are five dropdown menus: Type (Spot Trade), Scope (Summary), Format (Pdf), Frequency (Daily), and Channel (E-mail). A 'Create New' button is located below these menus. Under the 'Valid Subscriptions' section, there is a table with columns: Type, Scope, Format, Frequency, Channel, and Action. The table lists six subscriptions: Delivery Emissions, Invoice, Invoice, Payment, Payment, and Spot Trade. Each row has 'Edit' and 'Delete' buttons in the Action column. A 'Back' button is at the bottom left of the table.

Type	Scope	Format	Frequency	Channel	Action
Delivery Emissions	Summary	Pdf	Daily	E-mail	Edit Delete
Invoice	Detail	Pdf	Monthly	E-mail	Edit Delete
Invoice	Summary	Pdf	Monthly	E-mail	Edit Delete
Payment	Detail	Pdf	Daily	E-mail	Edit Delete
Payment	Summary	Pdf	Daily	E-mail	Edit Delete
Spot Trade	Detail	Xml	Daily	E-mail	Edit Delete

The reports are offered as **Detail Reports** or as **Summary Reports**. Detail Reports contain all individual transactions in accordance with the filter criteria of the report (e.g. all transactions of the respective trading day in a Spot Trade Report).

In Table 1 the reports which are available for subscription in the Member Area are listed.

Types of report	Content	Scope	Format	Frequency
Spot Trade Report	all Spot Market transactions (Day-Ahead and Intraday) per trading day. Contains data from Booking cut 16:00 d-1 to 16:00 d CET.	Detail	PDF, XML ¹	Daily
Payment Report	all Spot Market transactions (Day-Ahead and Intraday) per payment day	Detail, Summary	PDF, XML	Daily
Delivery Report	all Spot Market transactions as well as delivery instructions from expired future positions per delivery day for a particular asset class; there are different report specifications for emissions, power and natural gas	Summary, Detail for Emissions as well	PDF, XML	Daily
Invoice Report	all Spot and Derivatives Market transactions as well as delivery instructions from expired futures and options positions which have fallen due per invoice	Detail, Summary	PDF	Monthly
Margin Report	the total amount of the Spot Market Margin and Delivery Margins calculated for the respective Member	Detail, Summary	PDF, XML	Daily

Table 1 In Member Area available reports

Note: Position report type and Format Ponton X/P are currently not in use.

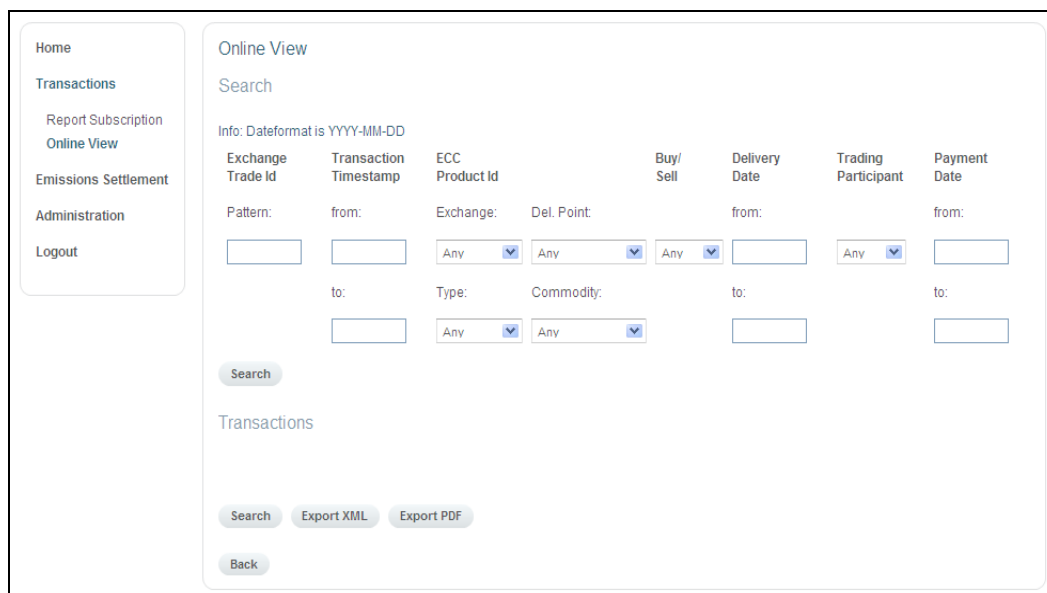
Optionally, these reports can be provided via the following transmission channels:

- **Email:** Reports subscribed to are sent out to the e-mail address communicated to ECC. This e-mail address could be changed in the section User Administration.
- **FTP server:** Reports subscribed to are made available on the FTP server. For further details please refer to the 'ECC File Transfer Service User Guide'

¹ The document entitled "[SMSS XML REPORT SPECIFICATION](#)" contains a description of the XML format.

3.2 Online View

Spot Market transactions and delivery instructions from expired futures positions can be retrieved online via the menu item **Online View**. The transaction data can be filtered according to various criteria and exported in the XML or PDF format afterwards.



The screenshot shows the 'Online View' search interface. On the left is a sidebar menu with options: Home, Transactions, Report Subscription, Online View (selected), Emissions Settlement, Administration, and Logout. The main area is titled 'Online View' and contains a 'Search' section. Below the title, it says 'Info: Dateformat is YYYY-MM-DD'. The search criteria are organized into columns: Exchange Trade Id, Transaction Timestamp, ECC Product Id, Buy/Sell, Delivery Date, Trading Participant, and Payment Date. Each column has a 'from:' and 'to:' input field. Some fields have dropdown menus with 'Any' selected. There are 'Search', 'Export XML', 'Export PDF', and 'Back' buttons at the bottom of the search area.

Searching for Transaction Data

The following filters are available for searching for transactions:

- Exchange Trade ID
- Transaction Timestamp (Transaction Date)
- Exchange
- Transaction Type
- Commodity
- Delivery Point
- Buy/Sell
- Delivery Date
- Trading Participant
- Payment Date

Please note that dates always have the following format: YYYY-MM-DD and that the appendix of document [“SMSS XML REPORT SPECIFICATION”](#) contains details on the field assignments.

Export of Transaction Data

Transaction data can be exported in the XML format via button “Export XML” or in the PDF format via “Export PDF”.

The Member Area menu section “Emissions settlement” covers the access to internal delivery accounts for emissions (“Internal Delivery Accounts” - see section below), the procedure of transferring emissions to external registry accounts (“Registry Transfer Request” - see section 4.2) and the so-called “CER White List” (see section 4.3).

Spot transactions regarding emission allowances, delivery instructions from expired emission futures positions as well as registry transactions (from and to the ECC registry account) are booked by ECC on internal delivery accounts. The designation of the respective account (e.g. ABCEX_EUA3) consists of the ECC Member ID and the respective commodity (EUA3, EUAA3, or GCER).

An overview of the balances of the respective accounts is available in the menu section **Internal Delivery Accounts**. Details regarding the individual transactions can also be retrieved there.

Home	Internal Delivery Accounts				
Transactions					
Emissions Settlement					
Internal Delivery Accounts	Account Name	Commodity	Company	Balance	Projected Balance
Registry Transfer Request	ABCEX_CER	CER	C_ABCEX	0	0
CER White List	ABCEX_ERU	ERU	C_ABCEX	0	0
Administration	ABCEX_EUA	EUA	C_ABCEX	200,000	150,000
Logout	ABCEX_EUAA	EUAA	C_ABCEX	0	0
	ABCEX_PEUA	PEUA	C_ABCEX	0	0
	Back				

For each Internal Delivery Account the **Balance**, i.e. the opening balance including today's settled transactions and the **Projected Balance**, i.e. the balance on the next ECC business day taking into account all currently unsettled² transactions, are shown.

² Unsettled transactions are transactions that are already included into the settlement system but that will be effective on the next ECC business day. Those transactions can be deliveries resulting out of trading activities or Registry Transfer Requests which will change the account balance on the next ECC business day

4.2 Registry Transfer Request

Trading participants can request the transfer of the emission allowances available on the internal delivery accounts to a registry account of their choice via the ECC Member Area. Prerequisites to instruct and process such a transfer are two admitted ECC Member Area users with the right to create Registry Transfer Requests (Function “Registry Transfer Request of Emission Rights (RTR)” in the form [T10 User Setup](#) has to be selected).

A new **Registry Transfer Request** is generated via the button “Create New”. The date for the transfer can be freely selected by the trading participant; however, such a day can be the next ECC business day (TARGET day) at the earliest.

Plausibility and completeness of a Registry Transfer Request are checked by the system immediately upon receipt. Requests containing incorrect data are rejected. New Registry Transfer Requests have to be approved by a second user

Create new Registry Transfer Request

Settlement Member:	ABCEX
Underlying:	EUA_DMS
Delivery Account:	ABCEX_EUA
Current Balance:	200,000
Beneficiary Registry Account:	EU-100-1234567-0-25
Quantity:	100000
Delivery Date:	YYYY-MM-DD
Info:	Transfer

Confirm
Reset
Overview

Back

The status of the requests can be tracked via the menu item **Registry Transfer Request** at any time. As long as a request has the status “Created”, it can be interrupted by the user and the status can be changed to “Cancelled”. To cancel already “Approved” but not yet “Processed” Registry Transfer Requests one user has to insert the cancellation and a second user has to approve it.

The internal delivery account balance is checked on the specified transfer date. In case there is no sufficient balance on the internal delivery account on that date, the registry transfer is not carried out. The status of the request is changed to “Error”. In this case the respective transfer date needs to be re-specified. As well you could check your current and projected account holdings with ECC. Provided there is a sufficient balance, a registry transaction is generated and the status of the appertaining transfer request is changed to “Initiated”. In case a transfer request cannot be initiated successfully as a registry transfer in the registry, the status of the transfer request is switched to “Error”.

As soon as ECC receives the information about a successful registry transfer from the registry authority, the inventories in the delivery account are updated accordingly. The status is finally changed to “Processed”.

In the case of a Registry Transfer Request of CERs and ERUs ECC selects one or several projects randomly. There is no claim to the transfer of a specific CER or ERU type.

4.3 CER White List

Not all CDM projects are accepted by ECC to fulfil the delivery obligations out of expired positions in CER Futures; for this reason, all projects accepted by ECC are listed in the so-called **CER White List**.

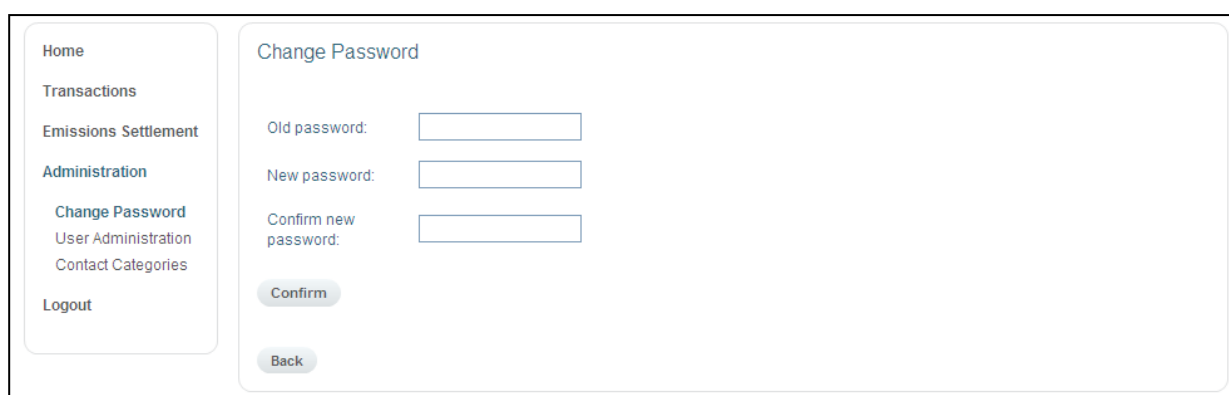
Upon every submission ECC checks whether the CERs submitted can be assigned to a project accepted on ECC. If this check fails, the registry transfer is refused with the status “Error”. In this case either other CERs need to be delivered that match with the CER White List or ECC should be contacted to check, if the respective project fulfils the criteria according to the Contract Specification or not. In case the project fulfils the criteria the CER White List will be updated.

5 ADMINISTRATION

5.1 Change Password

The menu item **Change Password** permits the administration of the password provided in the user account.

Passwords have to be changed at an interval of 60 days. The data entered is saved via the “Confirm” button.



The screenshot shows a web interface for changing a password. On the left is a sidebar menu with the following items: Home, Transactions, Emissions Settlement, Administration (highlighted), Change Password (highlighted), User Administration, Contact Categories, and Logout. The main content area is titled "Change Password" and contains three input fields labeled "Old password:", "New password:", and "Confirm new password:". Below these fields are two buttons: "Confirm" and "Back".

5.2 User Administration

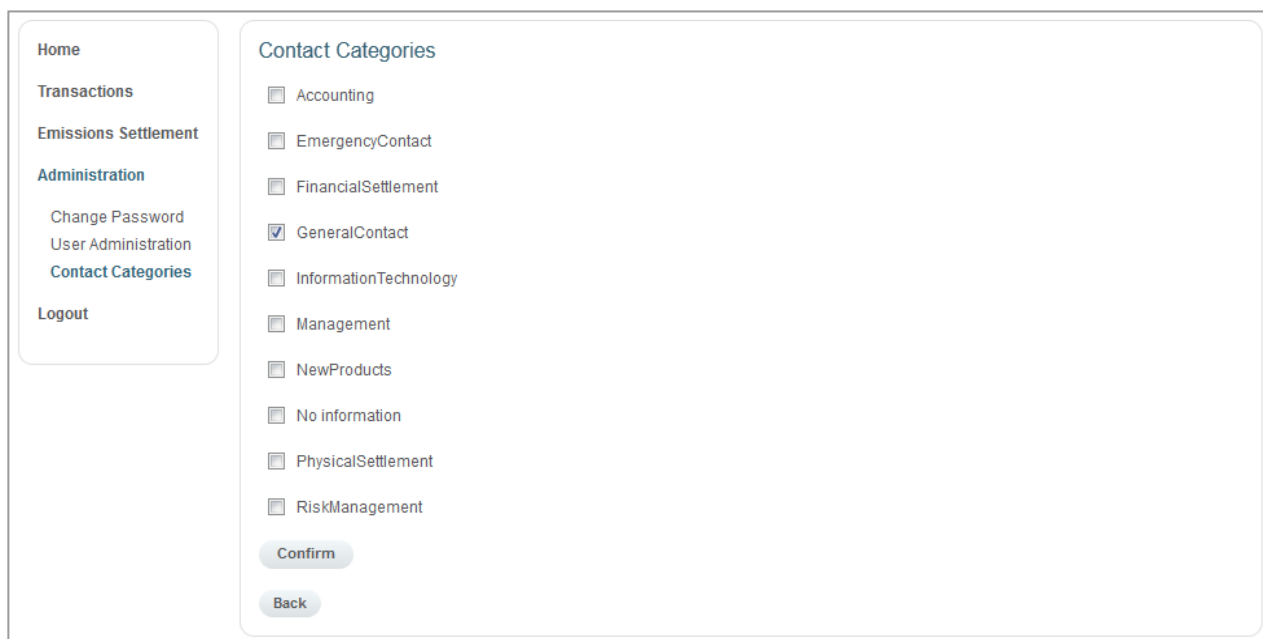
The function **User Administration** allows administrating existing contact data including the email address, to which ECC provides reports and Clearing Circulars.

Home	User Administration
Transactions	Salutation: Mr.
Emissions Settlement	First name: Contact CCP
Administration	Last name: General
Change Password	Position: Test
User Administration	Title: Test
Contact Categories	Department: Test
Logout	Phone: unknown
	Mobile: unknown
	Fax: unknown
	E-mail: clearing@ecc.de
	Confirm
	Back

5.3 Contact Categories

ECC distributes ECC Clearing Informations according to contact categories and thus information relevance. The functionality **Contact Categories** allows users to sign up to predefined categories and to receive ECC information and circulars accordingly. By selecting the respective boxes and confirming, users are automatically assigned to their chosen categories in ECC's system. The following contact categories are available:

- Accounting
- Emergency Contact
- Financial Settlement
- General Contact
- Information Technology
- Management
- New Products
- No information
- Physical Settlement
- Risk Management



Home

Transactions

Emissions Settlement

Administration

Change Password

User Administration

Contact Categories

Logout

Contact Categories

- ☐ Accounting
- ☐ EmergencyContact
- ☐ FinancialSettlement
- ☒ GeneralContact
- ☐ InformationTechnology
- ☐ Management
- ☐ NewProducts
- ☐ No information
- ☐ PhysicalSettlement
- ☐ RiskManagement

Confirm

Back

6 APPENDIX – ABBREVIATION LIST

Abbreviation	Meaning
CCP	Central Counterparty
CDM	Clean Development Mechanism
CER	Certified Emission Reduction
ECC	European Commodity Clearing AG
EUA3	European Emission Allowances for EU ETS period 2013–2020
EUAA3	EU Aviation Allowances for EU ETS period 2013–2020
TARGET	Trans-European Automated Real-time Gross Settlement Express Transfer System